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PATENT  
60709-00012

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Barton et al.

Group Art Unit:

Serial No. 09/848,051

Examiner:

Filed: May 3, 2001

For: METHODS AND SYSTEMS FOR  
COMPLIANCE PROGRAM  
ASSESSMENT

CERTIFICATE OF MAILING

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on July 9, 2001.

*Patrick W. R...*  
Patrick W. R..., Reg. No. 37,916

INFORMATION DISCLOSURE STATEMENT

1. ☒ Pursuant to 37 CFR 1.97(b)  
[within 3 months of filing or prior to 1st Office Action]
2. ☐ Certification Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]
3. ☐ Fee Payment Pursuant to 37 CFR 1.97(c)  
[before Final Office Action or Allowance]
4. ☐ Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97 (d)  
[before Issue Fee payment]

Hon. Commissioner for Patents  
Washington, D.C. 20231

Sir:

The following are submitted in the above identified application in compliance with 37 CFR 1.97 & 1.98:

5. ☒ A list of documents on form PTO-1449 together with copies of each identified document and a translation or a concise explanation of each non-English language document is enclosed herewith.

This Paper is submitted in accordance with:

6. ☒ 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
7. ☐ 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and

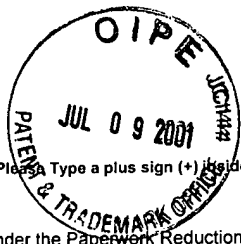
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9. ☐ The required certification made in item 11 below; or
9. ☐ The \$180 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
10. ☐ 37 CFR 1.97(d): [before issue fee payment]; and
10. ☐ a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to: "Attention GROUP DIRECTOR, and if applicable include batch locator information: e.g., "Allowed Files, Batch \_\_\_\_\_, Date of Allowance \_\_\_\_\_"), and
10. ☐ b) The required Certification is stated in item 11 below.
11. ☐ Certification
12. ☐ Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or
13. ☐ No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.
14. ☒ Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 01-2384. An original and two copies of this document is enclosed.

Respectfully submitted,

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			Application Number	09/848,051	
			Filing Date	May 3, 2001	
			First Named Inventor	Barton et al.	
			Group Art Unit		
Examiner Name					
Sheet	1	of	1	Attorney Docket Number	60709-00012

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	5,233,513		Doyle	Aug. 3, 1993	
	AB	5,813,009		Johnson et al.	Sep. 22, 1998	
	AC	5,819,263		Bromley et al.	Oct. 6, 1998	
	AD	5,980,429		Nashner	Nov. 9, 1999	
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	AF	6,163,732		Petke et al.	Dec. 19, 2000	
	AG	6,209,004		Taylor	Mar. 27, 2001	
	AH	6,256,773		Bowman-Amuah	Jul. 3, 2001	
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FOREIGN PATENT DOCUMENTS								
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<sup>1</sup>Unique citation designation number. <sup>2</sup>See Attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WSIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

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